

NORTHWEST IOWA CARE CONNECTIONS

TRANSITION PLAN JUNE 2014

Northwest Iowa Care Connections provides leadership and management at the local level for designing a regional system of care for Mental Health and Disability Services. The design of the system is based on the expectation that individuals and families may have multi-occurring issues. The system of care approach incorporates an organized quality improvement partnership process to achieve the vision defined at the beginning of this Plan.

As its mission, Northwest Iowa Care Connections exists to enhance the lives of the people it serves through an array of services to meet the needs of the citizens of Northwest Iowa using evidence based practices wherever possible to provide unparalleled services that achieve life altering outcomes for the people we serve.

Northwest Iowa Care Connections aspires to a system of care approach characterized by the following principles and values; welcoming and individual-oriented; person and family driven; recovery/resiliency oriented; trauma-informed; culturally competent; multi-occurring capable; partnership among stakeholders in the region (providers, families, individuals, elected officials and region staff); and continuous quality improvement.

Northwest Iowa Care Connections Regional Local Access points

Northwest Iowa Care Connections designates the following access points and their function(s) in the enrollment process. An access point is a part of the service system or community that is trained to complete the MH/DD funding applications for persons with a disability and forward them to the local Northwest Iowa Care Connections Office.

| Access Point | Address | Phone |
|---|---|---|
| Cherokee MHI | 1200 W. Cedar Loop Cherokee IA | 712-225-2594 |
| Department of Human Services Targeted Case Mgt. | 2105 Main St Room 103 Emmetsburg, IA 50536 21 W. 6 th St. Suite 306 Spencer IA. 51301 2400 Park Street, Suite 2 Sheldon, IA 51201-8506 | Teri Kunz: Work Cell: 641-425-2595 Pam Moldovan: Work Cell: 712-830-1509 Pat Lange: Work Cell: 712-540-5873 |
| County Case Management Clay County (TCM) | 215 W. 4 th St. Suite 6 Spencer IA 51301 | 712-262-9438 |
| Dickinson County TCM Emmet County TCM O'Brien County TCM | 1808 Hill Ave St 2502 Spirit Lake, IA 51360 598 1 st Ave. N. Estherville, IA 51334 155 S. Hayes Box 525 Primghar, IA 51245 | 712-336-0775 712-362-2452 712-957-5985 |
| Osceola County TCM | 300 7 th St. Sibley, IA 51249 | 712-754-4209 |
| Seasons Center for Behavioral Health with offices in Clay, Dickinson, Lyon, O'Brien, Osceola and Palo Alto Counties | 201 E. 11 th St. Spencer IA 2301 Highway 71 Spirit Lake, IA 51360 315 1 st Ave. Rock Rapids, IA 51246 604 Park St. Sheldon, IA 51201 600 N 9 th Ave. Sibley, IA 51249 717 Broadway Emmetsburg, IA 50536 | 712-262-2922 or 800-242-5101 |
| Spencer Hospital | 1200 1 st Ave. E. Spencer IA | 712-264-6228 |

Northwest Iowa Care Connections Regionally Designated Targeted Case Management Agencies

Northwest Iowa Care Connections identified a process used to designate targeted case management providers for the region. Interested providers were asked to submit an application which included information about the provider, their location, their staff, their scope of practice including examples of their record keeping, and their projected FY 15 rate. Since Northwest Iowa Care Connections offers a choice and access to cost effective, evidenced based, conflict-free Targeted Case Management as described in IAC 441-25.21 (1) g. Northwest Iowa Care Connections designated targeted case management agencies to offer services to individuals enrolled in the Medicaid Program. Designated Case Management agencies serving the Northwest Iowa Care Connections must be accredited by the Department of Human Services. Targeted Case Managers must meet the qualification as defined in IAC 441.

Targeted Case Management and Service Coordination Services meet the following expectations; Performance and outcomes measures relating to the safety, work performance and community residency of the individuals received the service; standards including but not limited to social history, assessment, service planning, incident reporting, crisis planning, coordination, and monitoring for individuals receiving the services; and methodologies for complying with the requirements of sub rule 441.25.21 (g) which may include the use of electronic recording keeping and remote or internet based training.

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| Department of Human Services Targeted Case Mgt. | 2105 Main St Room 103 Emmetsburg, IA 50536 | Teri Kunz: Work Cell: 641-425-2595 |
| | 21 W. 6 th St. Suite 306 Spencer IA. 51301 | Pam Moldovan: Work Cell: 712-830-1509 |
| | 2400 Park Street, Suite 2 Sheldon, IA 51201-8506 | Pat Lange: Work Cell: 712-540-5873 |
| County Case Management Clay County TCM | 215 W. 4 th St. Suite 6 Spencer IA 51301 | 712-262-9438 |
| Dickinson County TCM | 1808 Hill Ave Suite 2502 Spirit Lake, IA 51360 | 712-336-0775 |
| Emmet County TCM | 609 1 st Ave. N. Estherville, IA 51334 | 712-362-2452 |
| O'Brien County TCM | 155 S. Hayes Box 525 Primghar, IA 51245 | 712-957-5985 |
| Osceola County TCM | 300 7 th St. Sibley, IA 51249 | 712-754-4209 |

Northwest Iowa Care Connections Regional Service Provider Network

Over the next several years, Northwest Iowa Care Connections used its contracting capacity to implement a series of strategies to move to outcome-based payments. Northwest Iowa Care Connections uses a mix of fee-for-service and capitated rates for most of its services. It provides block grants only for specific population based activities where billing by individuals served is impossible or impractical. Non-traditional provider contracts are used in instances when services are provided by individuals and families.

Northwest Iowa Care Connections service contracts require that all providers meet all applicable licensure, accreditation, or certification standards; however, Northwest Iowa Care Connections makes serious efforts to stimulate access to more natural supports in its service provider network. Successful attainment of positive outcomes, consumer and family satisfaction, and cost effectiveness measures are the most important factors in continued network participation. Northwest Iowa Care Connections (NWIACC) has identified access points within the provider network to assist individuals or their representatives to apply for services. During this first year, providers may change depending on the clients' needs.

| <u>NWIACC Regional Network of Providers</u> | <u>Funded Programs in the NWIACC Region</u> |
|--|--|
| Broadlawns Regional Medical Center 1801 Hickman Road Des Moines, IA 50309 515-282-2200 | Adult Inpatient Psychiatric Services |
| Cherokee Mental Health Institute 1200 W. Cedar Cherokee, Iowa 51012 712-225-2594 | Adult Inpatient Psychiatric Services Admission and Discharge Coordination Services |
| Community and Client Services of Iowa 518 9 th Ave. N. Sibley, Iowa 51249 712-754-3608 | Supported Community Living |
| Compass Pointe 1900 Grand Ave. N. Suite A. Spencer, IA 51301 712-262-2952 | Multi-Occurring Disorders Crisis Care Jail Multi-Occurring Disorders Screening Services |
| Creative Living Center 1905 10 th St. Rock Valley, IA 51247 712-476-5245 | Adult Outpatient MH Services |
| Department of Human Services 20 W. 6 th St. Spencer, Iowa 51301 712-264-3540 | Targeted Case Management |
| County Case Management Sub contracted currently through Seasons Center 201 E. 11 th St. Spencer, Iowa 51301 712-262-2922 800-242-5101 | Case Management Services for Clay County (MI, ID, DD, BI) Dickinson (MI only) O'Brien (MI, ID, DD, BI) and Osceola Counties (MI, ID, DD, BI) |
| Emmet County Case Management Services 609 1 st Ave. N Suite 15 Estherville, IA 51334 712-362-2452 | Case Management for Dickinson County (ID, DD, BI) |

| <u>NWIACC Regional Network of Providers</u> | <u>Funded Programs in the NWIACC Region</u> |
|---|--|
| Echo/Plus, Inc. 1560 6 th Ave. N Estherville, Iowa 51334 712-362-2192 1808 Jackson Ave. Spirit Lake, Iowa 51360 712-336-4052 | Supported Community Living Employment and Day Services |
| Hope Haven 1800 19 th St. Rock Valley, Iowa 51247 712-476-2737 | Supported Community Living Employment and Day Services Crisis Services Peer Support Respite MI Day Habilitation Adult Outpatient Therapy Jail Multi-Occurring Disorders Screening & Therapy Services |
| Horizons Unlimited 3826 460 th Ave. Box 567 Emmetsburg, IA 712-852-2211 | Supported Community Living Employment and Day Services |
| Kathleen's RCF 1505 E. 5th St. Emmetsburg, Iowa 50536 712-852-2267 | Residential Services Supported Community Living |
| Life Skills 1510 Industrial Rd. SW LeMars, IA 51031 712-546-4785 | Employment and Day Services |
| Mercy Medical Center North IA 1000 4 th St. SW Mason City, Iowa 50401 641-428-7000 | Inpatient Psychiatric Services |
| Mercy Medical Center 1111 6 th Ave. Des Moines, IA 50314 515-247-3121 | Inpatient Psychiatric Services |
| Opportunity Village 1200 N 9 th St. W. Clear Lake, IA 50428 641-357-5277 | Employment and Day Services |
| Prairie View 18569 Lane Road Fayette, IA 52142 563-425-3291 | Residential Services |
| Pride Group 214 Plymouth St SE LeMars, IA 51031 712-546-6500 2273 170 th St. Okoboji IA 51355 712-332-3124 6059 390 th St. Primghar, IA 51245 712-757-6375 | Residential Services Supported Community Living Habilitation Services |
| | |

| <u>NWIACC Regional Network of Providers</u> | <u>Funded Programs in the NWIACC Region</u> |
|---|--|
| Seasons Center for Behavioral Health 201 E. 11 th St. Spencer, IA 51301 712-262-9438 1-800-242-5101 | Inpatient Psychiatric Hospitalization-Evaluation and Treatment Outpatient MH Services – Psychiatric Evaluation & Medication Management Outpatient Therapy Services Community Based Services (CBS) Crisis Services Family and/or Peer Support Services Multi-Occurring Disorders Care |
| Sunshine Services Box 225 Spencer, IA 51301 712-262-7805 | Supported Community Living Employment and Day Services |
| Spencer Hospital 1200 1 st Ave. E. Spencer IA 51301 712-264-6228 | Inpatient Psychiatric Hospitalization |
| Unity Point FKA St. Luke's 1200 Pleasant St. Des Moines, IA 50309 515-241-6212 | Inpatient Psychiatric Hospitalization |
| Village Northwest 330 Village Circle Sheldon, IA 51201 712-324-4873 | Supported Community Living Employment and Day Services |
| Willow Heights 60191 Willow St. Atlantic, IA 712-243-3411 | Residential Services Supported Community Living |

Northwest Iowa Care Connections Regional Service Access and Service Authorization Process

Individuals residing in Northwest Iowa Care Connections counties, or their legal representative, may apply for regional funding for services by contacting any Northwest Iowa Care Connections Community Services office or may contact one of the designated access points to complete an application. All applications are forwarded to the Dickinson County office as the designated Northwest Iowa Care Connections primary enrollment site. The Northwest Iowa Care Connections Enrollment site will determine eligibility for funding with assistance provided as needed by local community services office staff.

The Northwest Iowa Care Connections application is used for all applications. If language or other barriers exist, the access points should contact an appropriate person to assist the applicant in the intake process or contact the local Community Services office to make such arrangements. The completed application is then forwarded by access points to the designated NWIACC enrollment site by the end of the business day.

Northwest Iowa Care Connections staff review the application in a timely manner within two business days to determine if all necessary information is present and complete on the application. If the application is incomplete, the application is returned to the applicant requesting additional information. Failure to respond with necessary information and/or to provide a fully completed application may result in a delay or denial of funding.

When applications are complete and reviewed, referrals are then made as needed to Case Management or Service Coordination etc. to address the needs of the client.

Residency

If an applicant has complied with all information requests, their access to services cannot be delayed while awaiting a determination of legal residence. In these instances, Northwest Iowa Care Connections funds services and later seeks reimbursement from the county of legal residence when that applies.

County of residence means the county in this state in which, at the time a person applies for or receives services, the person is living and has established an ongoing presence with the declared, good faith intention of living in the county for a permanent or indefinite period of time. The county of residence of a person who is a homeless person is the county where the homeless person usually sleeps. A person maintains residency in the county in which the person last resided while the person is present in another county receiving services in a hospital, a correctional facility, a halfway house for community-based corrections or substance-related treatment, a nursing facility, an intermediate care facility for persons with an intellectual disability, or a residential care facility, or for the purpose of attending a college or university. (IC 331.394(1) (a))

General Eligibility

Northwest Iowa Care Connections reviews the application to determine if the applicant meets the general eligibility criteria of the Regional Northwest Iowa Care Connections Management Plan.

1. The individual is at least eighteen years of age.

Or

a. An individual who is seventeen years of age, is a resident of this state, and is receiving publicly funded children's services may be considered eligible for services through the regional service system during the three-month period preceding the individual's eighteenth birthday in order to provide a smooth transition from children's to adult services.

2. The individual is a resident of this state.

Financial Eligibility

The individual complies with financial eligibility requirements in IAC 441-25.16

1. Income Guidelines: (IC 331.395.1)

Gross incomes 150% or below are based on the current Federal Poverty Guidelines. Applicants with income above 150% are eligible for regional funding with an individual copayment as specified in this manual.

The income eligibility standards specified herein shall not supersede the eligibility guidelines of any other federal, state, county, or municipal program. The income guidelines established for programs funded through Medicaid (Waiver programs, Habilitation Services, etc.) shall be followed if different than those established in this manual.

In determining income eligibility, the average monthly income for the past 3 months will be considered, however, recent employment and/or income changes may be considered by Northwest Iowa Care Connections in determining income eligibility. Applicants are expected to provide proof of income (including pay stubs, income tax return, etc.) as requested by Northwest Iowa Care Connections.

2. Resources Guidelines: Iowa Code 331.395

An individual must have resources that are equal to or less than \$2,000 in countable value for a single-person household or \$3,000 in countable value for a multi-person household or follow the most recent federal supplemental security income guidelines.

- a. The countable value of all countable resources, both liquid and non-liquid, is included in the eligibility determination except as exempted in this sub-rule.
- b. A transfer of property or other assets within five years of the time of application with the result of, or intent to, qualify for assistance may result in denial or discontinuation of funding.
- c. The following resources are exempt:
 - (1) The homestead, including equity in a family home or farm that is used as the individual household's principal place of residence. The homestead includes all land that is contiguous to the home and the buildings located on the land.
 - (2) One automobile used for transportation.
 - (3) Tools of an actively pursued trade.
 - (4) General household furnishings and personal items.
 - (5) Burial account or trust limited in value as to that allowed in the Medical Assistance Program.
 - (6) Cash surrender value of life insurance with a face value of less than \$1,500 on any one person.
 - (7) Any resource determined excludable by the Social Security Administration as a result of an approved Social Security Administration work incentive.

d. If an individual does not qualify for federally funded or state-funded services or other support, but meets all income, resource, and functional eligibility requirements of this chapter, the following types of resources shall additionally be considered exempt from consideration in eligibility determination:

- (1) A retirement account that is in the accumulation stage.
- (2) A medical savings account.
- (3) An assistive technology account.
- (4) A burial account or trust limited in value as to that allowed in the Medical Assistance Program.

e. An individual who is eligible for federally funded services and other supports must apply for and accept such funding and support.

Diagnostic Eligibility

The individual must have a diagnosis of Mental Illness or Intellectual Disability. Individuals with eligible MI or ID diagnoses, which also have a multi-occurring Substance Use Disorder, are welcomed for care, and eligible for services. Those who have a developmental disability or brain injury are encouraged to apply with core services considered when funding is available.

Mental Illness

Individuals, who at any time during the preceding twelve-month period, have a mental health, behavioral, or emotional disorder or, in the opinion of a mental health professional, may now have such a diagnosable disorder. The diagnosis is made in accordance with the criteria provided in the most recent diagnostic and statistical manual of mental disorders published by the American Psychiatric Association, and does not include the manual's "V" codes identifying conditions other than a disease or injury. The diagnosis does not include substance-related disorders, dementia, antisocial personality, or developmental disabilities, unless co-occurring with another diagnosable mental illness.

Intellectual Disability

Individuals who meet the following three conditions:

1. Significantly sub average intellectual functioning: an intelligence quotient (IQ) of approximately 70 or below on an individually administered IQ test (for infants, a clinical judgment of significantly sub average intellectual functioning) as defined by the Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition, American Psychiatric Association.
2. Concurrent deficits or impairments in present adaptive functioning (i.e., the person's effectiveness in meeting the standards expected for the person's age by the person's cultural group) in at least two of the following areas: communication, self-care, home living, social and interpersonal skills, use of community resources, self-direction, functional academic skills, work, leisure, health, and safety.
3. The onset is before the age of 18.

(Criteria from "Diagnostic and Statistical Manual of Mental Disorders, Fourth Edition Revision (DSM IV)," 1994 revision, American Psychiatric Association)

- a. The results of a standardized assessment support the need for intellectual disability services of the type and frequency identified in the individual's case plan.

Acceptable verification for Diagnostic requirements

If a copy of a psychological or psychiatric evaluation or other acceptable verification of diagnosis does not accompany the application, Northwest Iowa Care Connections may refer the applicant to an appropriate mental health professional for evaluation to verify and document a diagnosis.

Assistance to other than Core Populations (IAC 441-25.21(1)2)

If funds are available and the population category and specific services were covered in at least one of the counties' previous MHDS plans prior to the formation of the region, Northwest Iowa Care Connections will continue to fund the services to the individual who has a diagnosis of a developmental disability other than an intellectual disability, or a brain injury as defined in Iowa Code chapter 4.1(9A). Such funding shall continue until it is denied by the Federal/ State governments, or the application of such funds would keep the NWIACC Mental Health and Disability Services Region from providing mandated core services.

"Persons with developmental disabilities" means a person with a severe, chronic disability which:

1. Is attributable to mental or physical impairment or a combination of mental and physical impairments.
2. Is manifested before the person attains the age of 22.
3. is likely to continue indefinitely.
4. Results in substantial functional limitations in three or more of the following Areas of life activity: self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency.
5. Reflects the person's need for a combination and sequence of services which Are of lifelong or extended duration.

"Persons with brain injury" means an individual diagnosis of brain injury "means clinically evident damage to the brain resulting directly or indirectly from trauma, infection, anoxia, vascular lesions or tumor of the brain, not primarily related to degenerative or aging processes, which temporarily or permanently impairs a person's physical, cognitive, or behavioral functions as defined in Iowa Administrative Code section 83.81.

F. NOTICE OF ELIGIBILITY

Notice of Eligibility for Assessment

Once a fully completed application is received in a Northwest Iowa Care Connections' local community services office, Northwest Iowa Care Connections staff or designee determines if the applicant meets the general eligibility criteria within 10 business days. A Notice of Enrollment informs the individual of the decision and information to schedule the standardized assessment as defined in section F of this manual within 90 days. The applicant is sent a copy of the region's appeal process and informed that they have the right to appeal the decision.

Service and Functional Assessment (IAC 441-25.21(1)o)

Standardized functional assessment methodology designated by the director of human services is completed within 90 days of application. The results will support the need for services including the type and frequency of service in the individual's case plan.

The Targeted Case Manager or Service Coordinator will invite providers to participate in the development of the consumer's Individual Comprehensive Plan (ICP) to ensure effective coordination. Together with the individuals, guardians, family members, and providers, service coordinators develop and implement individualized plans for services and supports.

The individual will actively participate in the development of the service plan. If the consumer is an adult and has no guardian or conservator, s/he may elect to involve family members in the service planning process and to approve the final service plan. If the individual has a guardian or conservator, or is otherwise unable to give informed consent, the designated guardian, parent, or other representative will approve the service plan.

Consumers may be represented by advocates, other consumer representatives, friends or family during the service planning process.

Service Funding Authorization

The Notice of Decision informs the individual of the action taken on the application, reason for the action, service provider, services and units of services approved based on results from the standardized assessment. The applicant is sent a copy of the region's appeal process and informed that they have the right to appeal the decision.

All individuals that receive ongoing MH/DS services have an individualized plan which identifies the individual's needs and desires and set goals with action steps to meet those goals. Eligible individuals that request or accept the service may be referred to a targeted case manager for service coordination. Other individuals receive individualized service coordination from Northwest Iowa Care Connections staff.

As with the application and enrollment process, consumers are informed of their right to appeal any service planning/service authorization decision.

Re enrollment

Individuals must reapply for services on at least an annual basis.

Exception to Policy

An exception to policy may be considered in cases when an individual is significantly and/or adversely affected by the regional eligibility policy. To request an Exception to Policy, the

individual or the individual's service provider submits the following information to the Region's Chief Executive Officer:

- Individual's name
- Current services the individual is receiving
- The policy for which the exception is being requested
- Reason why the exception should be granted

The Northwest Iowa Care Connections staff will review the exception and a response will be given to the individual within 10 business days.

The Northwest Iowa Care Connections Governance Board, the Regional Administrator Chief Executive officer or designee authorizes an Administrative Exception to Policy to fund services outside the parameters of the Services Management Plan.

Extenuating circumstances are documented and Administrative Exceptions with timeframes for the exception will be identified in each exception decision. The Region in which the individual has legal residence approves all Exceptions to Policy.

Written appeal forms, with a clear description of the appeals, investigation, and disposition process, and the telephone number for submitting a verbal appeal or grievance are attached to the Notice of Decision form. Assistance in completing the appeal form is provided upon request.

To appeal, a completed appeal form (see page 51) must be sent to the Northwest Iowa Care Connections Office listed on the Notice of Decision (please see page 51 for location information) within ten (10) working days of receipt of the Notice.

Reconsideration -The Northwest Iowa Care Connections' Regional Administrator or the staff who sent the Notice of Decision shall review appeals and grievances. After reviewing an appeal, the Northwest Iowa Care Connections' Regional staff contacts the appellant not more than five (5) working days after the written appeal is received.

The Northwest Iowa Care Connections' Regional staff collects additional information from the appellant and other sources, if necessary and consent is given. Following a review of additional information and all relevant facts, a written decision is issued no later than five (5) working days following the contact with the appellant. A copy of the decision is sent to the appellant and/or representative by regular mail.

Administrative Review - If a resolution is not agreed upon through Reconsideration step, then the appellant can follow this step and a meeting shall be arranged with the Northwest Iowa Care Connections Chief Executive Officer (CEO) or designee within ten (10) working days of the final decision of the Reconsideration step. The appellant is notified of the meeting time, day, and location of this meeting by regular mail.

During the meeting with the appellant, the Northwest Iowa Care Connections or designee discusses the facts of the decision and will consider additional information the appellant submits relevant to the appeal. A written decision is issued no later than five (5) working days following the date of the meeting. A copy of the decision is sent to the appellant and/or representative by regular mail.

If a resolution is not agreed upon through Administrative Review, then the appellant can pursue a hearing through a state Administrative Law Judge (ALJ). The decision of the state ALJ shall be the final decision.

Northwest Iowa Care Connections does not pay legal fees for an appellant. If you cannot afford legal representation, you may contact Legal Services of Iowa at 1-800-532-1275 or <http://www.iowalegalaid.org/>

Individuals, families, individual representatives (with the consent of the individual) and providers may appeal the decisions of the region or any of its designees or contractors at any time. Such individuals or organizations may also file a grievance about the actions or behavior of a party associated with the regionally managed system of care at any time through the non- expedited appeal process (IAC 441-25.21 (1) I. (1))

An expedited appeals process per IAC 441-25.21 (1) I (2) is performed by a mental health professional who is either the Administrator of the Division of Mental Health and Disability Services of the Iowa Department of Human Services or the Administrator's designee. The process is to be used when the decision of Northwest Iowa Care Connections concerning an individual varies from the type and amount of service identified to be necessary for the individual in a clinical determination made by a mental health professional and the mental health professional believes that the failure to provide the type and amount of service identified could cause an immediate danger to the individuals' health and safety.

This information will be used for future planning in the annual service budget plan, improving the system of care approach plan, collaboration with agencies, decentralizing service provisions and provider network formation. In addition, the data elements, indicators, metrics, and performance improvement for population management will be continuously improved over time as the region develops increasing capability for managing the needs of its population.

Northwest Iowa Care Connections Regional Information Technology and Data Management Capacity

Northwest Iowa Care Connections uses a web-based management information system that supports demographic, financial, and clinical information for a managed care service delivery structure. (See attachment with CSN Information) The system supports a centralized access that allows regional designated administrative staff to be on-line to determine service eligibility, to enroll individuals, to authorize services, and to process claims.

Should the need arise, the system manages waiting lists according to specific priorities, and allows for future service delivery method changes and accounting changes. It provides flexible reporting and query capabilities to accommodate the ever-changing reporting needs of the County and the State of Iowa. The system has varying levels of security to permit users to access only at the level that they have authorization.

Northwest Iowa Care Connections Regional Business Functions

The Northwest Iowa Care Connections member counties of Clay, Dickinson, Lyon, O'Brien, Osceola, and Palo Alto have agreed to appoint one of its Board of Supervisors' members to serve as a Director on the Governing Board who serves indefinitely at the pleasure of the county appointing the Director, until a successor is appointed, or until the earlier death, resignation, or the end of such person's service as a county supervisor.

These member counties and their appointed representatives agree to respond to reasonable requests to make local records available to the Region for the purposes of this Agreement; to provide sufficient office space for the performance of contracted services; to support the effective collaboration of other county functions related to the provision of contracted services; to provide county staff as agreed between the member county and the Governing Board for the effective provision of contracted services; to contribute funds; and to contribute funds as required at the time of entry into the Region (or the effective Date for initial member counties. The current Governance Board members and contact information are listed below:

| Northwest Iowa Care Connections Governance Board members | | | |
|--|------------------------------------|--|------------|
| Clay-Linda Swanson | 712-363-2500 | swsnfarm@royaltelcon.net | Secretary |
| Dickinson- William Leupold | 712-336-2824 | wcleup@mchsi.com | Chair |
| Lyon-Mark Behrens | 712-470-3768 | markbehrens@mtcnet.net | |
| Obrien-Tom Farnsworth | 712-348-0339 | smtf@netins.net | Vice-Chair |
| Osceola-Phil Bootsma | 712-724-6260 | pbboots@frontiernet.net | |
| Palo Alto-Ron Graettinger | 712-260-4053 | rongraettinger@yahoo.com | |
| Adhoc Members | | | |
| Provider-Barry Whitsell Village NW | Information available upon request | | |
| Consumer/Family- Nancy Ketcham | Information available upon request | | |

Northwest Iowa Care Connections encourages stakeholder involvement by having a regional advisory board assist in developing and monitoring the plans, goals, and objectives identified for the service system, and to serve as a public forum for other related MH/DS issues. The MH/DS Advisory Board represents stakeholders which include, but are not limited to, individuals, family members, county officials, and providers.

There is a consumer/family representative and service provider representative from each county in place as the Northwest Iowa Care Connections Advisory Board. From there, a family/consumer and a provider representative were chosen as listed below as an adhoc member of the Governance Board. The current members are as follows:

| Northwest Iowa Care Connections Regional Advisory Board | | | |
|--|-------------------------------------|----------------|---|
| Clay- | Nancy Ketcham Sunshine Services | Ann Vandehaar | Consumer/Family Representative Provider Representative |
| Dickinson | Joyce Brummert Pride Group | Mike Porter | Consumer/Family Representative Provider Representative |
| Lyon | Jackie Steuven Hope Haven | Scott Witte | Consumer/Family Representative Provider Representative |
| O'Brien | Marvin Lindley Village Northwest | Barry Whitsell | Consumer/Family Representative Provider Representative |
| Osceola | Melanie Sievert Seasons Center | Kim Scorza | Consumer/Family Representative Provider Representative |
| Palo Alto | Cindy Chapman Horizons | Ron Askland | Consumer/Family Representative Provider Representative |

To date, there have been four meetings; two jointly with the Governance Board and two sessions separately. The Advisory Board developed the mission and vision statement for the region, and members have taken an active role participating on teams with regional staff and Governance Board members working on customized employment and crisis services response and delivery.

The initial Chief Executive Officer (CEO) was chosen from the pool of presently employed Central Point Coordinators (CPCs) from the proposed region. The initial CEO was chosen by an interview committee consisting of four members (two county supervisors who were disinterested since their CPC wasn't applying, and two citizens who have knowledge concerning mental health. Any supervisor with an interest (their CPC is interviewing) was excluded from participating in the interview to the extent that the interview group may consist of one disinterested supervisor and three knowledgeable citizens, or if all supervisors have interest the interview group consisted of four knowledgeable citizens.

Compensation for the initial CEO is paid by the region when the state declares the petitioning counties a region, and the petitioning counties turn their mental health funds over to the region. The CEO serves as the spokesperson for the region. The CEO is responsible for monitoring access points, community relations, and human resources staffing of the region. Additional duties include conflict resolution/grievance and appeals, regional management plan monitoring and reporting strategic plan and performance based contracting reporting. Other duties may be assigned by the Governance Board.

During the time that the chosen CPC serves as the Region's CEO, she will remain an employee of their county and will report to both her Board of Supervisors and the Region's Governing Board. The Governing Board conducts annual evaluations of the CEO. The Governing Board may conduct additional evaluations of the CEO at any time, as it deems necessary in given situations. All Evaluations are summarized in writing and submitted to the Board of Supervisors of the member county that employs the CEO.

In the event the Governing Board determines that it is not in the best interest of the Region for a particular person to continue to serve as the CEO, the Governing Board shall inform the Chief Executive Officer and the Board of Supervisors of the member county employing such person. The Governing Board will then appoint an interim CEO within 14 days to serve until a replacement CEO can be appointed.

Northwest Iowa Care Connections is contracting with member counties for member county employees to provide services to the Region to staff the needs of the Region. The terms of all employment or contracts for staff are approved by the Governing Board. Staff includes six disability service coordinators; three of which have a bachelor's degree in human services or related field or administrative-related field and two who have provided documentation of relevant management experience in lieu of a bachelor's degree.

The Region contracts with member counties for staff to provide the following functions and responsibilities: Communications; Strategic Plan Development; Budget Planning and Financial Reports; Operations – personnel, benefits, space, training, etc.; Risk Management; Compliance and Reporting; Service Processing, Authorization and Access; Provider Network- development, contracting, quality and performance; Payment of Claims; Quality Improvement and Outcome based Measures; Appeals and Grievance; Information Technology; Service Authorization; Eligibility Determination; Provider Payment; Contracting; and HIPPA Oversight.

Current Regional Staff include;

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|---|
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Regional Staff are subject to performance evaluations on annual basis or as needed through a process approved by the Northwest Iowa Care Connections Governance Board through administrative oversight by the Region's CEO and in conjunction with the staff member's County Board of Supervisors.

In order to determine eligibility for regional funding, perform ongoing eligibility review, and to provide service coordination and monitoring, individuals or their authorized representatives are requested to sign release forms. Failure of individuals to sign or authorize a release of information is an automatic reason for denial; however, Northwest Iowa Care Connections staff inability to obtain sufficient information to make an eligibility determination may result in denial of regional funding.

Financing and delivery of services and supports are based on the requirements of IAC 441-25.21.(1) j). Non-Medicaid mental health and disability services funding is under the control of the Northwest Iowa Care Connections Governing Board in accordance with Iowa Administrative Code **441-25.13 (331.391)**. The Northwest Iowa Care Connections Governing Board retains full authority and financial risk for the Plan. The finances of the Region are maintained to limit administrative burden and provide public transparency.

The Northwest Iowa Care Connections Chief Executive Officer and Administrative Team prepare the proposed annual budget. The proposed budget is reviewed by the Northwest Iowa Care Connections Governing Board for final approval. The Administrative Team is responsible for managing and monitoring the adopted budget.

Each service provider submits monthly billing invoices and other information requested of the provider for utilization review. The monthly billings must include the following information:

- Name and unique identifier of each individual served during the reporting period.
- Number of units of service delivered to each individual served.
- When requested, attendance records.
- Unit rate and total cost of the units provided to each individual copayments or other charges billed to other sources shown as deductions on the billing.
- Actual amount to be charged to the Region for each individual for the period.

Northwest Iowa Care Connections claims processing staff reviews the billings and additional utilization information in comparison with service funding authorizations in place. Non-emergency services delivered without service funding authorization are deducted from the billing.

All eligible bills are paid within 60 days of receipt of required documentation unless unforeseen circumstances exist.

No billings received more than 60 days after the close of the fiscal year in which the service was provided will be considered for payment by Northwest Iowa Care Connections unless there is a statutory obligation. Fiscal year for Northwest Iowa Care Connections is July 1 – June 30.

Any mental health costs incurred by individual counties before July 1st, 2014 but not yet billed to the county are paid by the Region after the individual county is billed.

Any mental health costs which are accrued and billed to individual counties before July 1, 2014 but are as yet unpaid may be paid by the Region at the discretion of the Region's Governance Board.

Services funded by Northwest Iowa Care Connections are subject to change or termination with the development of the regional MH/DS budget each fiscal year for the period of July 1 to June 30.

The Northwest Iowa Care Connections Governing Board has designated O'Brien County to act as the Regional Fiscal Agent. The Northwest Iowa Care Connections Governing Board determines an amount of projected MHDS fund balance to be paid to the Regional Fiscal Agent.

Northwest Iowa Care Connections is responsible for services that are authorized in accordance with the Regional Management Plan and within the constraints of budgeted dollars. Because a lack of historical expenses makes it difficult to accurately address regional expenses for new services during this first and transitional year, the NWIACC Governance Board will allow, with their prior authorization, flexible use of funds within the confines of the regional budget to address special projects and services brought forward for consideration. Services funded by Northwest Iowa Care Connections are subject to change or termination with the development of the annual budget each fiscal year.

The Northwest Iowa Care Connections Governing Board has designated O'Brien County to act as the Regional Fiscal Agent. The Northwest Iowa Care Connections Governing Board determines an amount of projected MHDS fund balance to be paid to the Regional Fiscal Agent based on quarterly allocations from counties not receiving equalization dollars. Due to Osceola County's debt, there are provisions made for the region to absorb the loss of their equalization dollars and to maintain cash flow by requesting additional revenues from other counties as approved by the Governance Board.

Northwest Iowa Care Connections will have counties maintain their administrative costs in their county's Fund 10 for payment to staff with quarterly reporting of all costs to the region.

Northwest Iowa Care Connections uses a web-based management information system that supports demographic, financial, and clinical information for a managed care service delivery structure. The system supports a centralized access that allows regional designated administrative staff to be on-line to determine service eligibility, to enroll individuals, to authorize services, and to process claims. Claims data is electronically transmitted by designated Regional claims processing staff to the Region's Fiscal Agent to issue payment.

Any adjustments or other questions regarding billing are completed by the designated claims processing staff. In addition

Northwest Iowa Care Connections may implement a waiting list if encumbered expenses for a given fiscal year exceed regional MHDS funds available. Core Services for target populations of mental illness and intellectual disabilities are considered priority services. Other than core populations funding and Priority 2 services may be placed on the waiting list or be subject to

reduction in services. Waiting lists may also be utilized if other than core services or mental health or intellectual disability services requested are unavailable at the time of application.

If placed on a waiting list, the applicant is informed on the Notice of Decision form. The notice will identify the approximate time the service may be available to applicant. If unable to estimate such time, Northwest Iowa Care Connections will state such and will update the applicant at least every 60 days as to the status of their service request.

The waiting list is centrally maintained by the Regional office. Any waiting list that may exist is reviewed annually when planning for future budgeting needs and future development of services.

Northwest Iowa Care Connections Regional Funds Account procedures

Management & Expenditure of Funding is done through the following process. All funds received by member counties for purposes related to the Region from any source are deposited into a Regional account quarterly during the fiscal year, less administrative costs which are retained in the counties' Fund 10.

The Region's funds are used to pay all costs of the Region, managed and administered by the fiscal agent of the Region, the CEO, or staff designated by the Region, and in compliance with the law, direction from the Governing Board, and other written policies of the Region.

The fiscal agent of the Region can be changed by either the Board of Supervisors of the fiscal agent's county or the Governing Board serving a 60 day written notice upon the other party. The Governing Board appoints a successor fiscal agent prior to expiration of the 60 day period. The fiscal agent will receive an administrative fee of \$11 per written check specifically set forth in the Region's budget for each year.

Administrative costs are a component of the Region and are accounted for as addressed in this document's previous heading describing regional business functions.

The Region complies with Chapters 12B and 12 C of the Iowa Code for deposit and investment of Region Funds. Through the Region's budgeting process, it strives to use surplus funds for the development of additional services.

On or around the effective date of July 1, 2014, each member county provides initial funds of \$47.28 allowed by the State legislature per capita per county with any potential shortfalls in funding allocated on a per capita basis to the counties with ending fund balance surpluses. A member county's MHDS fund balance includes the fund balance, annual tax levy, and any funding from the state related to services provided for purposes of the Region. If a county becomes a member of the Region after the effective date, such county will follow these procedures.

Any mental health costs incurred by individual counties before July 1st, 2014 but not yet billed to the county are paid by the Region after the individual county is billed. Any costs associated with mental health and/or disability services which are accrued and billed to individual counties before July 1, 2013 but are as yet unpaid may be paid by the Region at the discretion of the Region's Governance Board.

Any funding needs above \$47.28 per capita funding are paid on a per capita basis by those counties that have ending MH/DS fund balances until such funds are depleted.

Northwest Iowa Care Connections Regional Data Reporting Compliance

The system evaluation shall include, but not be limited to:

- evaluation of individual satisfaction, including empowerment and quality of life;
- provider satisfaction; patterns of service utilization; responsiveness to individual needs and desires;
- improvement of welcoming, person/family centered, hopeful, strength based, trauma informed, multi-occurring capable care;
- improvement of the ability of providers to work in partnership with each other and with the regional management team to share collective responsibility for the population in the region;
- the number and disposition of individual appeals and the implementation of corrective action plans based on these appeals;
- cost-effectiveness;
- Additional outcomes and performance measures outlined by the Department of Human Services.

The annual report is due on December 1st following a completed fiscal year of implementing the annual service and budget plan. The initial report is due on December 1, 2015. The annual report includes but is not limited to services actually provided, actual numbers of individuals served, moneys expended and outcomes achieved.


The Department of Human Services requires the member counties of Northwest Iowa Care Connections to submit their annual Data Warehouse reports December 1st, 2014. This process includes compilation of the minimum client data set, expenditures, the counties' provider network, and client services provided.

Reviewed and Approved by the Northwest Iowa Connections Governance Board

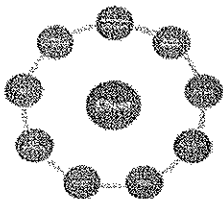

William Leupold Chair- Northwest IA Care Connections

6-30-14
Date

Prepared by:


Kimberly Wilson MSW, LMSW
Chief Executive Officer Northwest IA Care Connections

6-30-14
Date



County Community Services Network (CSN)

Mental Health | General Assistance | Substance Abuse | Case Management | ETC

The CSN software package includes the following functionality; Client Management (PHI), Provider Management, Service Authorizations, Electronic Claims Filing and Processing, Targeted Case Management, Case Management Electronic Billing, Reporting, Financials and Budgeting, Entity Profiles, User profiles, Extensive role based security, Flexible Entity Access, AdHoc Reporting, and an Electronic Clearing House. Currently 98 counties and, approximately 40 case management agencies use CSN to manage their business. There are 500 users and over 200,000 clients.

Functionality

Client Management

- Demographics

- Medical and Prescription drug Information

Provider Management

- Authorizations for Service

Claims

- Electronic claims

- Adjudication against Funding Authorizations and other requirements

- Multi-step review process

- Voucher & Remittance Advice Generation

- Electronic submission to the Auditor's Accounting Software & Reconciliation

Case Management

- Service Authorizations

- Management of Goals and Outcomes

- PDF Form generation as mandated by Iowa Code

- Extensive Client Contact tracking

- Quality Review

- Electronic Billing & Receivables

Reporting

- AdHoc Reporting (July 1)

- Canned reports

- State Compliance reporting

Financials

- Flexible Budgeting & Revenue Tracking & Reports

- Custom General Ledger codes per Entity

User profiles

- Extensive security based on HIPAA regulations (this is expanding)

Flexible Entity Access

- County, region or provider (limited) based

- Users may be affiliated with multiple entities and providers

We also maintain an electronic clearing house for our providers.

Contact Information

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Iowa State Association of Counties

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